

**PATENT**

**Customer Number: 22,852**

**Attorney Docket No. 05725.0843-00**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

**David W. CANNELL et al.**

Application No.: New U.S. Patent Application

Group Art Unit: Unassigned

Filed: March 30, 2001

Examiner: Unassigned

For: HEAT ACTIVATED DURABLE  
STYLING COMPOSITIONS  
COMPRISING AMINATED C<sub>5</sub> TO C<sub>7</sub>  
SACCHARIDE UNIT AND METHODS  
FOR SAME



**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. § 1.97(b)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), Applicants bring to the attention of the Examiner the documents listed on the attached PTO 1449. This Information Disclosure Statement is being filed concurrently with the above-referenced application.

Copies of the listed documents, including any co-pending patent applications, are attached. Applicants respectfully request that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

LAW OFFICES

FINNEGAN, HENDERSON,  
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1300 I STREET, N. W.  
WASHINGTON, DC 20005  
202-408-4000

With respect to the non-English language documents, Applicants submit the following remarks:

1. **DE 297 09 853** - An abstract of the disclosure of this document can be found in the English language Derwent Abstract submitted herewith.
2. **JP 06-122614** - An abstract of the disclosure of this document can be found in the English language Derwent Abstract submitted herewith.
3. **JP 04-266812** - An abstract of the disclosure of this document can be found in the English language Derwent Abstract submitted herewith.
4. **JP 10-279439** - An abstract of the disclosure of this document can be found in the English language Derwent Abstract submitted herewith.
5. **JP 09-059134** - An abstract of the disclosure of this document can be found in the English language Derwent Abstract submitted herewith.
6. **Hollenberg et al., "Möglichkeiten Zur Beeinflussung Der Haarstruktur Durch Pflegeprodukte", *SÖFW-Journal*, Vol. 121, No. 2, 1995, pp. 82-89** - An abstract of the disclosure of this document can be found in the English language ACS Abstract submitted herewith.
7. **Hollenberg et al., "Möglichkeiten Zur Beeinflussung Der Haarstruktur Mit Kosmetischen Mitteln", *Seifen - Öle - Fette - Wachse*, Vol. 117, January 1991, pp. 9-18** - An abstract of the disclosure of this document can be found in the English language ACS Abstract submitted herewith.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and Applicants determine that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the U.S. Patent Office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

By:   
Thalia V. Warnement  
Reg. No. 39,064

Date: March 30, 2001

**INFORMATION DISCLOSURE CITATION**  
(Use several sheets if necessary)

Atty. Docket No.	05725.0843-00000	Application No.	Unassigned
Applicant	David W. CANNELL et al.		
Filing Date	March 30, 2001	Group:	Unassigned

U.S. PATENT DOCUMENTS							
Examiner Initial*		Document Number	Date	Name	Class	Sub Class	Filing Date If Appropriate
	1	4,900,545	Feb. 13, 1990	Wisotzki et al.			
	2	5,348,737	Sep. 20, 1994	Syed et al.			
	3	5,641,477	Jun. 24, 1997	Syed et al.			
	4	5,660,838	Aug. 26, 1997	Koga et al.			
	5	5,888,951	Mar. 30, 1999	Gagnebien et al.			

FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Sub Class	Translation Yes or No
	6	DE 297 09 853	Nov. 19, 1998	Germany			Abstract
	7	JP 06-122614	May 6, 1994	Japan			Abstract
	8	JP 04-266812	Sep. 22, 1992	Japan			Abstract
	9	JP 10-279439	October 20, 1998	Japan			Abstract
	10	JP 09-059134	Mar. 4, 1997	Japan			Abstract

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
11	Milczarek et al., "The Mechanism and Stability of Thermal Transitions in Hair Keratin", <i>Colloid and Polymer Science</i> , Vol. 270, No. 11, 1992, pp. 1106-1115.	
12	Hollenberg et al., "Möglichkeiten Zur Beeinflussung Der Haarstruktur Durch Pflegeprodukte", <i>SÖFW-Journal</i> , Vol. 121, No. 2, 1995, pp. 82-89.	
13	ACS Abstract 123:296216 CA: Hollenberg et al., <i>SÖFW-Journal</i> , Vol. 121, No. 2, 1995, pp. 82-89.	

Examiner	Date Considered
*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	14	Hollenberg et al., "Möglichkeiten Zur Beeinflussung Der Haarstruktur Mit Kosmetischen Mitteln", <i>Seifen - Öle - Fette - Wachse</i> , Vol. 117, January 1991, pp. 9-18.
	15	ACS Abstract 114:149908 CA: Hollenberg et al., <i>Seifen - Öle - Fette - Wachse</i> , Vol. 117, January 1991, pp. 9-18.
	16	Spei et al., "Thermoanalytical Investigations of Extended and Annealed Keratins", <i>Colloid &amp; Polymer Science</i> , Vol. 265, No. 11, 1987, pp. 965-970.
	17	Sandhu et al., "A Simple and Sensitive Technique, Based on Protein Loss Measurements, to Assess Surface Damage to Human Hair", <i>J. Soc. Cosmet. Chem</i> , Vol. 44, No. 3, May/June 1993, pp. 163-175.
	18	Results from literature search performed by Assignee, 11 pages.
	19	Results from literature search performed by Assignee, 24 pages.
	20	English language Derwent Abstract of DE 297 09 853, Sep. 20, 1994.
	21	English language Derwent Abstract of JP 06-122614, May 6, 1994.

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	22	English language Derwent Abstract of JP 04-266812, Sep. 22, 1992.
	23	English language Derwent Abstract of JP 10-279439, Oct. 20, 1998.
	24	English language Derwent Abstract of JP 09-059134, Mar. 4, 1997.
	25	Co-pending Application - Attorney Docket No. 05725.0393-00000 Title: Compositions Comprising at Least One Aminated C <sub>5</sub> -C <sub>7</sub> Saccharide Unit, and Their Use for the Protection and/or Repair of Keratinous Fibers Inventor(s): David W. CANNELL et al. U.S. Filing Date: March 30, 2001
	26	Co-pending Application - Attorney Docket No. 05725.0592-00000 Title: Compositions Comprising at Least One Compound the Use of C <sub>3</sub> -C <sub>5</sub> Monosaccharides to Protect Keratinous Fibers Inventor(s): David W. CANNELL et al. U.S. Filing Date: July 11, 2000

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FOREIGN PATENT DOCUMENTS							
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	27	Co-pending Application - Attorney Docket No. 05725.0637-00000 Title: Compositions Comprising at Least One Aminated C <sub>5</sub> -C <sub>7</sub> Saccharide Unit, and Their Use for the Protection and/or Repair of Keratinous Fibers Inventor(s): David W. CANNELL et al. U.S. Filing Date: March 30, 2001
	28	Co-pending Application - Attorney Docket No. 05725.0777-00000 Title: Heat Activated Durable Styling Compositions Comprising C <sub>3</sub> -C <sub>5</sub> Monosaccharides and Methods for Same Inventor(s): David W. CANNELL et al. U.S. Filing Date: March 30, 2001
	29	Co-pending Application - Attorney Docket No. 05725.0783-00000 Title: Compositions Comprising at Least One C <sub>1</sub> to C <sub>22</sub> Substituted C <sub>3</sub> to C <sub>5</sub> Monosaccharide , and Their Use for the Protection and/or Repair of Keratinous Fibers Inventor(s): David W. CANNELL et al. U.S. Filing Date: March 30, 2001

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		Document Number	Date	Country	Class	Sub Class	Translation Yes or No

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

	30	Co-pending Application - Attorney Docket No. 05725.0844-00000 Title: Heat Activated Durable Conditioning Compositions Comprising an Aminated C <sub>5</sub> to C <sub>7</sub> Saccharide Unit and Methods for Using Same Inventor(s): David W. CANNELL et al. U.S. Filing Date: March 30, 2001
	31	Co-pending Application - Attorney Docket No. 05725.0877-00000 Title: Heat Activated Durable Styling Compositions Comprising C <sub>1</sub> to C <sub>22</sub> Substituted C <sub>3</sub> -C <sub>5</sub> Monosaccharides and Methods for Same Inventor(s): David W. CANNELL et al. U.S. Filing Date: March 30, 2001
	32	Co-pending Application - Attorney Docket No. 05725.0878-00000 Title: Heat Activated Durable Conditioning Comprising C <sub>1</sub> to C <sub>22</sub> Substituted C <sub>3</sub> -C <sub>5</sub> Monosaccharides and Methods for Same Inventor(s): David W. CANNELL et al. U.S. Filing Date: March 30, 2001

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